

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Lawrence Bergman, Vittorio Castelli,  
Tessa A. Lau, Daniel A. Oblinger

Serial No.: Unassigned

Filed: Concurrently herewith

For: **ALIGNMENT AND GENERALIZATION OF DEMONSTRATED  
PROCEDURE TRACES**

Mail Stop Patent Applications  
Commissioner for Patents  
PO Box 1450  
Alexandria VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

Pursuant to Applicant(s) duty of disclosure, the information listed in the attached form PTO-1449 is brought to the attention of the Examiner. Copies of the listed items are enclosed.

The citation of the listed items is not a representation that they constitute a complete or exhaustive listing of the relevant art or that the references are prior art. The items listed are submitted in good faith, but are not intended to substitute for the Examiner's search. It is hoped,

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CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail, postpaid in an envelope, addressed to the: Mail Stop Patent Applications, Commissioner for Patents, PO Box 1450, Alexandria VA 22313-1450 on December 5, 2003.

Dated: 12-5-03

  
Koon Hon Wong

however, that in addition to apprising the Examiner of these particular items, they will assist in identifying fields of search and in making as full and complete a search as possible.

The filing of this information disclosure statement is not an admission that the information cited herein is, or is considered to be, material to patentability as defined in 37 C.F.R. § 1.56(b).

☒ This information disclosure statement is being filed within three (3) months of the filing date of this application.

☐ This information disclosure statement is being filed within three (3) months of the date of entry of the national stage as set forth in 37 C.F.R. § 1.491 in an international application.

☐ To the best of Applicant(s) knowledge, this information disclosure statement is being filed before the date of mailing of a first Office Action on the merits in connection with this case.

☐ Statement under 37 C.F.R. § 1.97(e):  
I hereby state that each item of information contained in this Information Disclosure Statement

was cited in a communication from a foreign patent office in a counterpart foreign application not more than 3 months prior to the filing of this statement.

[ ] Enclosed herewith is a petition under 37 C.F.R. § 1.97(d)(ii).

[ ] Enclosed by check is the petition fee of \$130.00. (37 C.F.R. § 1.17(i)(1))

[ ] Please charge the \$130.00 petition fee to Deposit Account No. 50-0510/IBM (Yorktown Heights).

[ ] Enclosed by check is the \$180.00 fee required by 37 C.F.R. § 1.17(p).

[ ] Please charge the \$180.00 fee required by 37 C.F.R. § 1.17(p) to Deposit Account No. 50-0510/IBM.

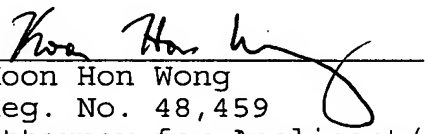
[X] Please charge any deficiency as well as any other fee(s) which may become due under 37 C.F.R. § 1.16 and/or 1.17 at any time during the pendency of this application, or credit any overpayment of such fee(s) to Deposit Account 50-0510/IBM. Also, in the event any extensions of time for responding

are required for the pending application(s),  
please treat this paper as a petition to extend  
the time as required and charge Deposit Account  
No. 50-0510/IBM therefor. TWO (2) COPIES OF THIS  
SHEET ARE ENCLOSED.

The claims of the application as now presented are  
believed to patentably distinguish over the prior art and to be  
in condition for allowance. Early and favorable consideration of  
the case is respectfully requested.

Respectfully submitted,

By:

  
Koon Hon Wong  
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Form PTO-1449

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEINFORMATION DISCLOSURE  
STATEMENT BY APPLICANT

(Use several sheets if necessary)

ATTY. DOCKET NO.

YOR920030355US1 (8728-642)

SERIAL NO.

unassigned

APPLICANT

Lawrence Bergman et al.

FILING DATE

Concurrently herewith

GROUP

Art Unit

## U.S. PATENT DOCUMENT

EXAMINER INITIALS	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

## FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

1.	Hui-Ling Lou, IMPLEMENTING THE VITERBI ALGORITHM IEEE Signal Processing Magazine, pp. 42-52, September 1995
2.	Yoshua Benjio, et al. INPUT - OUTPUT HMM'S FOR SEQUENCE PROCESSING IEEE Transactions on Neural Networks, Vol. 7., No. 5. pp. 1231-1249, September 1996

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

(Form PTO-1449 [6-4])